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E. Russell Tarleton

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Re: Information Disclosure Statement

Your Ref.: 09/831,855

Seed IP Ref.: 851663.426UPSC

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Urgent

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Comments:

Enclosed herewith are the IDS documents filed on October 27, 2004, but does not show of record on the USPTO database.

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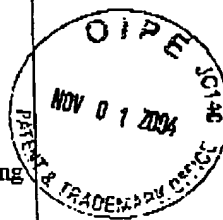
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851663.426USPC
ERT:ja

SENT: October 27, 2004

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Kindly acknowledge receipt of the below-listed documents by placing your receiving stamp hereon and mailing:

Check; Transmittal Form; Fee Transmittal Form (+ copy); Information Disclosure Statement; Form PTO-1449; in re: Pratima Pai et al., USAN 09/831,855, filed August 23, 2001, for METHODS OF EFFICIENT IMPLEMENTATION OF TRELLIS BASED SPECTRAL SHAPING WITH LOOKAHEAD.

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TRANSMITTAL FORM (To be used for all correspondence after initial filing)	Application Number	09/831,855
	Filing Date	August 23, 2001
	First Named Inventor	Pratima Pai
	Art Unit	2637
	Examiner Name	Guillermo Munoz
	Attorney Docket No.	851663.426USPC

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement, Form PTO-1449 <input type="checkbox"/> Cited References <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts under 37 C.F.R. 1.52 or 1.53 <input type="checkbox"/> Response to Missing Parts/Incomplete Application	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Request for Corrected Filing Receipt <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address <input type="checkbox"/> Declaration <input type="checkbox"/> Statement under 37 CFR 3.73(b) <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund	<input type="checkbox"/> CD(s), Number of CD(s) _____ <input type="checkbox"/> After Allowance Communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Return Receipt Postcard <input type="checkbox"/> Additional Enclosure(s) (please identify below): _____ _____ _____
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Individual Name	E. Russell Tarleton	Customer Number 00500
Signature	<i>E. Russell Tarleton</i>	
Date	October 27, 2004	

CERTIFICATE OF TRANSMISSION/MAILING		
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.		
Typed or printed name	Jason A. Hoyer	
Signature	<i>[Signature]</i>	Date: October 27, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 422 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. 526999

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851663.426USPC

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*** One Hundred Eighty and 00/100 ***** DOLLARS

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DATE	DESCRIPTION	AMOUNT
10/27/04	Docket No. : 851663.426USPC USAN : 09/831,855 <u>I.D.S. AFTER OFFICE ACTION</u> Basic Fee \$ 180	\$ 180.00
	ERT:ja	
		NON-NEGOTIABLE

NOV 10 2005
Patent Known

FEE TRANSMITTAL for FY 2005

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$) 180.00

Application Number 09/831,855
Filing Date August 23, 2001
First Named Inventor Pratima Pai
Examiner Name Guillermo Munoz
Art Unit 2637
Attorney Docket No. 851663.426USPC

METHOD OF PAYMENT

☒ Payment Enclosed:
☒ Check ☐ Credit card ☐ Money Order ☐ Other
☐ Deposit Account:
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Deposit Account Name Seed Intellectual Property Law Group PLLC
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☐ Charge any additional fee(s) during the pendency of this application
☐ Charge fee(s) indicated below, except for the filing fee
☒ Charge any deficiencies to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	790	2001	385	Utility filing fee	
1002	350	2002	175	Design filing fee	
1003	550	2003	275	Plant filing fee	
1004	790	2004	395	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$ 0)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims			
Multiple Dependent			

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	88	2201	44	Independent claims in excess of 3
1203	300	2203	150	Multiple dependent claim, if not paid
1204	88	2204	44	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 0)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2520	1812	2520	For filing a request for ex parte reexamination	
1804	920	1804	820	Requesting publication of SIR prior to Examiner action	
1805	1840	1805	1840	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	430	2252	215	Extension for reply within second month	
1253	980	2253	490	Extension for reply within third month	
1254	1530	2254	765	Extension for reply within fourth month	
1255	2080	2255	1040	Extension for reply within fifth month	
1401	300	2401	150	Notice of Appeal	
1402	300	2402	150	Filing a brief in support of an appeal	
1403	300	2403	150	Request for oral hearing	
1451	1510	1451	1510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1370	2453	685	Petition to revive - unintentional	
1501	1370	2501	685	Utility issue fee (or reissue)	
1502	480	2502	245	Design issue fee	
1503	660	2503	330	Plant issue fee	
1480	130	1480	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Sheet	180.00
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	790	2809	395	Filing a submission after final rejection (37 CFR § 1.128(a))	
1810	790	2810	395	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	790	2801	395	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 180.00)

SUBMITTED BY

Name (Print/Type) E. Russell Tarleton

Registration No. 31,800
Attorney/Agent

Customer Number

Signature E. Russell Tarleton

Date October 27, 2004

- 00500

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PATENT

I hereby certify that on the date specified below, this correspondence is being deposited with the United States Postal Service as first-class mail in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

October 27, 2004

Date

Jason Aflover

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Pratima Pai et al.
Int'l Application No. : PCT/SG98/00094
Int'l Filing Date : November 14, 1998
U.S. Application No. : 09/831,855
U.S. Filing Date : August 23, 2001
Title : METHODS OF EFFICIENT IMPLEMENTATION OF TRELLIS
BASED SPECTRAL SHAPING WITH LOOKAHEAD

Art Unit : 2637
Docket No. : 851663.426USPC
Date : October 27, 2004

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents:

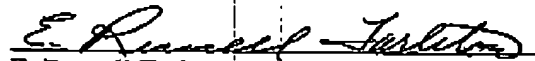
In accordance with 37 CFR 1.56 and 1.97 through 1.98, applicants wish to make known to the U.S. Patent and Trademark Office the references set forth on the attached Form PTO-1449. Copies of the cited U.S. patents and published patent applications are not required and accordingly have not been provided. As to any reference cited, applicants do not admit that it is "prior art" under 35 U.S.C. §§ 102 or 103, and specifically reserve the right to traverse or antedate any such reference, as by a showing under 37 CFR 1.131 or other method. Although

the aforesaid references are made known to the Patent and Trademark Office in compliance with applicants' duty to disclose all information they are aware of which is believed relevant to the examination of the above-identified application, applicants believe that their invention is patentable.

Please acknowledge receipt of this Information Disclosure Statement and kindly make the cited references of record in the above-identified application.

Respectfully submitted,

Seed Intellectual Property Law Group PLLC


E. Russell Tarleton
Registration No. 31,800

Enclosures:

Check
Postcard
Transmittal Form
Fee Transmittal Form (+ copy)
Form PTO-1449

701 Fifth Avenue, Suite 6300
Seattle, Washington 98104-7092
Phone: (206) 622-4900
Fax: (206) 682-6031

527000

Sheet 1 of 1

FORM PTO-1449 (REV.7-90)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 851663.426USPC		APPLICATION NO. 09/831,855	
INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)				APPLICANTS Pratima Pai et al.			
				FILING DATE August 23, 2001		GROUP ART UNIT 2637	
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME		CLASS	SUBCLASS
	AA	4,831,635	05/16/89	Lee, deceased et al.		375	19
	AB	4,901,331	02/13/90	Calderbank et al.		375	39
	AC	4,980,897	12/25/90	Decker al.		375	38
	AD	5,257,272	10/26/93	Fredrickson		371	43
	AE	5,548,600	08/20/96	Fredrickson et al.		371	43
	AF	5,740,203	04/14/98	Ramaswamy et al.		375	341
	AG	5,818,879	10/06/98	Eyuboglu et al.		375	286
	AH						
	AI						
	AJ						
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY		TRANSLATION	
						YES	NO
	AK						
	AL						
	AM						
	AN						
	AO						
OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)							
	AP						
	AQ						
	AR						
EXAMINER				DATE CONSIDERED			
* EXAMINER: Initial if reference considered, whether or not criteria is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant(s).							

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Date: 10/27/04